

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arthur Willard CHAFFEE
Title: INVESTMENT PORTFOLIO
TRACKING SYSTEM AND
METHOD
Appl. No.: 09/410,825
Filing Date: 10/01/1999
Examiner: Unassigned
Art Unit: 2761

Received
MAR 15 2002
Technology Center 2100

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56

Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith are references found during a preliminary examination search conducted by a professional patent search firm in support of applicant's petition to make special filed concurrently herewith. The references are extensively discussed in the accompanying petition to make special.

The Examiner is requested to consider these references during the first Office Action and to acknowledge same by returning an initial copy of the enclosed PTO SB/08B form.

Respectfully submitted,

Date October 17, 2001

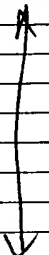
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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT Date Submitted: October 17, 2001 (use as many sheets as necessary)				Complete if Known	
				Application Number	09/410,825
				Filing Date	10/01/1999
				First Named Inventor	Arthur Willard Chaffee
				Group Art Unit	2761
				Examiner Name	Unassigned
				Attorney Docket Number	027756-0101
Sheet	1	of	1		

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
<i>N. Subramaniam</i> 	A1	5,819,238		Fernholz	10/6/1998	
	A2	5,842,185		Chancey et al.	11/24/1998	
	A3	5,875,435		Brown	2/23/1999	
	A4	5,903,881		Schrader et al.	5/11/1999	
	A5	5,911,136		Atkins	6/8/1999	
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	A7	6,173,270	B1	Cristofich et al.	1/9/2001	
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	A10	4,799,156		Shavit et al.	1/17/1989	
	A11	4,953,085		Atkins	8/28/1990	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ⁶

Examiner Signature	<i>N. Subramaniam</i>	Date Considered	9/4/02
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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